

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application Of:)
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John CARNAHAN *et al.*) Group Art Unit: 3628
)
Application Number: 09/552,879) Examiner: Siegfried E. Chencinski
)
Filed: April 20, 2000) Confirmation No.: 5010

For: **SYSTEM AND METHOD FOR DYNAMIC, MULTIVARIABLE
COMPARISON OF FINANCIAL PRODUCTS**

MAIL STOP AF
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUBSTANCE OF INTERVIEW UNDER 37 C.F.R. §1.133

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. § 1.133(b), Applicant wishes to make of record the substance of the interview between Applicant's undersigned representative and Primary Examiner F. Pionvil and Examiner S. Chencinski conducted on June 29, 2006.

As set forth in the Interview Summary prepared by the Examiners and initialed by the undersigned and each of the above Examiners, Applicant and the PTO agreed that (1) the finality of the April 2006 office action was withdrawn. (2) the claim amendments presented to the Examiners, as set forth below, would render claims allowable over the art of record, and (3) Applicant would accordingly submit a response to the April 2006 Office Action that could potentially result in a PTO communication of the claims being patentable.

During the Interview, Applicant and the Examiners also (4) reviewed the proposed claim amendment against the specification and jointly confirmed that the amendment was supported by the specification.

It is believed that no fees are due in connection with this filing. However, in the event that any fees are necessary, the Commissioner is hereby authorized to charge our Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS LLP

Dated: June 29, 2006
Hunton & Williams LLP
Intellectual Property Department
1900 K Street, N.W.
Suite 1200
Washington, DC 20006-1109
(202) 955-1500 (telephone)
(202) 778-2201 (facsimile)

By:


Stephen T. Schreiner
Registration No. 43,097

Claim Amendment Discussed During Interview

1-20. (Previously Cancelled)

21. (Currently Amended) A system for multivariable comparison of financial information, comprising:

a client interface to a user operative to receive weightable search information, the weightable search information comprising user-selected quantitative search criteria and user-selected weighting criteria, the weighting criteria reflecting user-defined levels of importance for one or more of the quantitative search criteria; and

a search interface, communicating with the client interface, the search interface operative to interrogate at least one network-enabled information source according to the weightable search information to generate search results:

wherein the financial information comprises a plurality of investment funds, each having multiple quantitative investment fund variables associated therewith; ~~and~~

the search interface is operative to compare the quantitative investment fund variables with the user-selected quantitative search criteria and the user-selected weighting criteria to generate search results comprising:

a first set of investment funds that do not satisfy all of the user-selected quantitative search criteria, but which satisfy the overall user-defined criteria based on the combination of the user-selected weighting criteria and the user-selected quantitative criteria, wherein the search results indicate the level the search results match the weighted criteria;

the search interface operative to perform subsequent searches within stored results of a prior search to limit search results when existing search criteria values are revised;

the search interface operative to perform other subsequent searches to interrogate at least one network-enabled information source to expand search results when criteria are added; and

the search interface operative to recalculate and represent the result indicators which indicate the level the search results match the weighted criteria.

22. (Previously Presented) The system of claim 21, wherein the one or more investment funds comprise one or more mutual funds.

23. (Previously Presented) The system of claim 21, further comprising a results interface operative to display the search results to the user.

24. (Previously Presented) The system of claim 23, wherein the results interface comprises a graphical user interface operative to display the one or more investment funds in a sortable list.

25. (Previously Presented) The system of claim 23, wherein the one or more investment funds comprise one or more mutual funds, and the results interface is operative to receive requests for a prospectus for one or more of the one or more mutual funds.

26. (Previously Presented) The system of claim 23, wherein the one or more investment funds comprise one or more mutual funds, and the results interface is operative to receive requests for an application for one or more of the one or more mutual funds.

27. (Previously Presented) The system of claim 21, wherein the search results further comprise a second set of search results comprising investment funds that satisfy all of the user-selected quantitative search criteria.

28. (Currently Amended) A method for multivariable comparison of financial information, comprising:

a) receiving weightable search information from a client interface, the weightable search information comprising user-selected quantitative search criteria and user-selected weighting criteria, the weighting criteria reflecting user-defined levels of importance for one or more of the quantitative search criteria; and

b) accessing at least one network-enabled information source comprising financial information regarding a plurality of investment funds, each investment fund having multiple quantitative investment fund variables associated therewith;

c) comparing the quantitative investment fund variables with the user-selected quantitative search criteria and the user-selected weighting criteria; ~~and~~

d) generating search results comprising:

a first set of investment funds that do not satisfy all of the user-selected quantitative search criteria, but which satisfy the overall user-defined criteria based on the combination of the user-selected weighting criteria and the user-selected quantitative criteria, wherein the search results indicate the level the search results match the weighted criteria;

e) performing subsequent searches comprising:

searching within stored results of a prior search to limit search results when existing search criteria values are revised;

interrogating at least one network-enabled information source to expand search results when criteria are added;

recalculating and represent the result indicators which indicate the level the search results match the weighted criteria.

29. (Previously Presented) The method of claim 28, wherein the one or more investment funds comprise one or more mutual funds.

30. (Previously Presented) The method of claim 28, further comprising displaying the search results to the user.

31. (Previously Presented) The method of claim 30, wherein displaying the search results to the user comprises displaying the one or more investment funds in a sortable list on a graphical user interface.

32. (Previously Presented) The method of claim 30, wherein the one or more investment funds comprise one or more mutual funds, and the method further comprises receiving a request for a prospectus for one or more of the one or more mutual funds.

33. (Previously Presented) The method of claim 30, wherein the one or more investment funds comprise one or more mutual funds, and the method further comprises receiving an application for one or more of the one or more mutual funds.

34. (Previously Presented) The method of claim 28, wherein generating search results further comprises:

generating a second set of search results comprising investment funds that satisfy all of the user-selected quantitative search criteria.

35-40. (cancelled)